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STATEMENT UNDER 37 CFR 3.73(b)

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Application No./Patent No.: 10/772,087 Filed/Issue Date: 02/03/2004

Titled: Electro-Optical Modulation and Other Optical Applications Using Poled Optical Whispering Gallery Mode Resonators

California Institute of Technology, a University
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
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the patent application/patent identified above, by virtue of either:

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B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

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☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Fred Farina/

7/21/2011

Signature

Date

Fred Farina

Chief Innovation Officer, OTT

Printed or Typed Name

Title

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